

**§ 423.3 Other process directed to the Social Security Administration or the Commissioner.**

Subpoenas and other process (other than summonses and complaints) that are required to be served on the Social Security Administration or the Commissioner of Social Security in his or her official capacity should be served as follows:

(a) If authorized by law to be served by mail, any mailed process should be sent to the General Counsel, Social Security Administration, Room 611, Altmeyer Building, 6401 Security Boulevard, Baltimore, MD 21235.

(b) If served by an individual, the process should be delivered to the mail room staff in the Office of the General Counsel, Room 611, 6401 Security Blvd., Baltimore, MD 21235 or, in the absence of that staff, to any Deputy General Counsel or secretary to any Deputy General Counsel of the Social Security Administration.

**§ 423.5 Process against Social Security Administration officials in their individual capacities.**

Process to be served on Social Security Administration officials in their individual capacities must be served in compliance with the requirements for service of process on individuals who are not governmental officials. The Office of the General Counsel is authorized but not required to accept process to be served on Social Security Administration officials in their individual capacities if the suit relates to an employee's official duties.

**§ 423.7 Acknowledgment of mailed process.**

The Social Security Administration will not provide a receipt or other acknowledgment of process received, except for a return receipt associated with certified mail and, where required, the acknowledgment described in rule 4(e) of the Federal Rules of Civil Procedure (28 U.S.C. App. 4(e)).

**§ 423.9 Effect of regulations in this part.**

The regulations in this part are intended solely to identify Social Security Administration officials who are authorized to accept service of process.

Litigants must comply with all requirements pertaining to service of process that are established by statute and court rule even though they are not repeated in this part.

**PARTS 424—497 [RESERVED]**

**PART 498—CIVIL MONETARY PENALTIES, ASSESSMENTS AND RECOMMENDED EXCLUSIONS**

Sec.

- 498.100 Basis and purpose.
- 498.101 Definitions.
- 498.102 Basis for civil monetary penalties.
- 498.103 Amount of penalty.
- 498.104 498.105 [Reserved]
- 498.106 Determinations regarding the amount or scope of penalties.
- 498.107 [Reserved]
- 498.108 Penalties not exclusive.
- 498.109 Notice of proposed determination.
- 498.110 Failure to request a hearing.
- 498.114 498.125 [Reserved]
- 498.126 Settlement.
- 498.127 Judicial review.
- 498.128 Collection of penalty.
- 498.129 [Reserved]
- 498.132 Limitations.
- 498.200 [Reserved]

AUTHORITY: Secs. 702(a)(5) and 1140 of the Social Security Act (42 U.S.C. 902(a)(5) and 1320b-10).

SOURCE: 60 FR 58226, Nov. 27, 1995, unless otherwise noted.

**§ 498.100 Basis and purpose.**

(a) *Basis.* This part implements section 1140 of the Social Security Act (42 U.S.C. 1320b-10).

(b) *Purpose.* This part provides for the imposition of civil monetary penalties against persons who—

(1) [Reserved]

(2) Misuse certain Social Security program words, letters, symbols, and emblems.

**§ 498.101 Definitions.**

As used in this part:

*Agency* means the Social Security Administration.

*Commissioner* means the Commissioner of Social Security or his or her designees.

*Department* means the U.S. Department of Health and Human Services.

*General Counsel* means the General Counsel of the Social Security Administration or his or her designees.

*Inspector General* means the Inspector General of the Social Security Administration or his or her designees.

*Penalty* means the amount described in § 498.103 and includes the plural of that term.

*Person* means an individual, organization, agency, or other entity.

*Respondent* means the person upon whom the Commissioner or the Inspector General has imposed, or intends to impose, a penalty.

*Secretary* means the Secretary of the U.S. Department of Health and Human Services or his or her designees.

*SSA* means the Social Security Administration.

*SSI* means Supplemental Security Income.

**§ 498.102 Basis for civil monetary penalties.**

(a) [Reserved]

(b) The Office of the Inspector General may impose a penalty against any person whom it determines in accordance with this part has made use of certain Social Security program words, letters, symbols, or emblems in such a manner that they knew or should have known would convey, or in a manner which reasonably could be interpreted or construed as conveying, the false impression that an advertisement or other item was authorized, approved, or endorsed by the Social Security Administration, or that such person has some connection with, or authorization from, the Social Security Administration.

(1) Civil monetary penalties may be imposed for misuse, as set forth in § 498.102(b), of—

(i) The words “Social Security,” “Social Security Account,” “Social Security Administration,” “Social Security System,” “Supplemental Security Income Program,” or any combination or variation of such words; or

(ii) The letters “SSA,” or “SSI,” or any other combination or variation of such letters; or

(iii) A symbol or emblem of the Social Security Administration (including the design of, or a reasonable facsimile of the design of, the Social Security

card, the check used for payment of benefits under title II, or envelopes or other stationery used by the Social Security Administration), or any other combination or variation of such symbols or emblems.

(2) Civil monetary penalties will not be imposed against any agency or instrumentality of a State, or political subdivision of a State, that makes use of any symbol or emblem, or any words or letters which identify that agency or instrumentality of the State or political subdivision.

(c) The use of a disclaimer of affiliation with the United States Government, the Social Security Administration or its programs, or any other agency or instrumentality of the United States Government, will not be considered as a defense in determining a violation of section 1140 of the Social Security Act.

**§ 498.103 Amount of penalty.**

(a) [Reserved]

(b) Under section § 498.102(b), the Office of the Inspector General may impose a penalty of not more than \$5,000 for each violation resulting from the misuse of Social Security Administration program words, letters, symbols, or emblems relating to printed media, and a penalty of not more than \$25,000 in the case of such misuse related to a broadcast or telecast.

(c) For purposes of paragraph (b) of this section, a violation is defined as—

(1) In the case of a direct mailing solicitation or advertisement, each separate piece of mail which contains one or more program words, letters, symbols, or emblems related to a determination under § 498.102(b); and

(2) In the case of a broadcast or telecast, each airing of a single commercial or solicitation related to a determination under § 498.102(b).

**§§ 498.104—498.105 [Reserved]**

**§ 498.106 Determinations regarding the amount or scope of penalties.**

(a) [Reserved]

(b) In determining the amount of any penalty in accordance with § 498.103(b), the Office of the Inspector General will take into account—